DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

NORTH CAROLINA UTILITIES COMMISSION

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. Public records including electronic records not listed in this schedule or in the General Schedule for State Agency Records are not authorized to be destroyed.

The

NORTH CAROLINA UTILITIES COMMISSION

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

Mac Ellis, Chief Re Department

Jo Anne Sanford, Chairwoman North Carolina Utilities Commission

Geneva Thigpen, Chief Clerk

North Carolina Utilities Commission

David J. Olson, Director Division of Historical Resources

APPROVED

James T. Faln, III, Secretary Department of Commerce

Lisbeth C. Evans, Secretary Department of Cultural Resources

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION ACCOUNTING DIVISION

ITEM 12705. NATIONAL ASSOCIATION OF REGULATORY UTILITY COMMISSIONS (NARUC) FILE.

Sub-committee studies and presentations of data which relate to rate cases.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12706. RATE CASES FILE.

Records concerning rate cases. File includes reference copies of proposed orders, applications, exhibits, news releases, reference information relating to issues between the involved parties, working papers and orders of the Federal Regulatory Commission as they affect the procedures, and other related records. (Rate cases include the following: electric, telephone, gas, water, and transportation.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year if no litigation, claim, audit, other official action, or reference use involving the records has been initiated. If official action or reference use has been initiated, destroy in office after completion of action and resolution of issues involved, or after reference use has ended.

ITEM 12707. DEPRECIATION RATES STUDY FILE.

Depreciation rates proposed by Southern Bell Telephone Company for adoption by the commission.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after proposed rates are adopted or rejected by the commission.

ITEM 12708. TOLL RATE CASES FILE.

Records concerning telephone companies. File includes copies of proposed toll rates, investigation reports, flow-through orders, regulations of tri-state tolls by the commission, final orders establishing rates to be charged, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year if no litigation, claim, audit, other official action, or reference use involving the records has been initiated. If official action or reference use has been initiated, destroy in office after completion of action and resolution of issues involved, or after reference use has ended.

ITEM 12718. FINANCING DOCKETS FILE.

Records concerning stocks, bonds, and securities. File includes applications for authority to issue and sell stocks, bonds, and securities; applications to borrow; and applications for authority to enter into nuclear fuel trust financing.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 10 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION COMMISSIONERS' OFFICE

ITEM 555. COMMISSIONERS' ADMINISTRATIVE FILE.

Records concerning the commission's functions and operations. File includes departmental and inter-departmental correspondence, companies' budget reports, legislative reports, conference and seminar records, speeches, annual reports, complaint correspondence, and National Association of Regulatory Utility Commissions (NARUC) brochures. File also includes reference copies of North Carolina Utilities Commission's minutes and annual reports.

DISPOSITION INSTRUCTIONS: Destroy in office minutes and NARUC materials when administrative value ends. Transfer remaining records to the State Records Center after 10 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 12665. PENDING CASES (REFERENCE) FILE.

Exhibits, applications, orders, and transcripts of cases to be heard or being heard before the commission. File includes cases awaiting decisions by the commission.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12667. DOCKETS (REFERENCE) FILE.

Exhibits, applications, orders, and transcripts of cases.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12670. NORTH CAROLINA UTILITIES COMMISSION MINUTES FILE.

Minutes and agendas of the commission. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s) to be microfilmed for permanent storage. Microfilmed paper records will be returned to agency after microfilming. Retain in office microfilmed paper records permanently. The original copy (silverhalide) of microfilm will be stored permanently in the State Archives vault. Transfer a duplicate copy of the official signed minutes to the State Records Center after each meeting for security storage. The duplicate copy will be destroyed in the State Records Center when original records microfilmed.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION DIRECTOR'S OFFICE/TRANSPORTATION DIVISION

ITEM 12777. PENDING ORDERS FILE.

Reference copies of orders pending decisions by the commission.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12779. ORDERS, NOTICE OF HEARINGS, AND DOCKETS FILE.

Reference copies of records concerning orders issued by the commission. File also includes notices of hearings.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12781. NATIONAL CONFERENCE OF STATE TRANSPORTATION SPECIALISTS FILE.

Reference copies of meeting and conference records of the National Conference of State Transportation Specialists.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 12783. LEGISLATIVE FILE.

Proposed and enacted legislation regarding transportation.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12784. HOUSEHOLD GOODS MOVERS FILE.

Records concerning household goods movers' regulations. File includes copies of safety regulations, investigative reports, North Carolina General Statutes regarding household goods movers, National Association of Transportation Experts information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends. Destroy records currently held in the State Records Center immediately.

ITEM 12785. GENERAL ORDERS FILE.

Reference copies of general orders issued by the commission.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 12798. BUS SCHEDULES FILE.

Lists of changes in bus schedules.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 12802. INTRASTATE MOTOR CARRIERS CORRESPONDENCE FILE.

Correspondence between the North Carolina Utilities Commission and intrastate motor carriers. File also includes correspondence from the public concerning motor carriers.

DISPOSITION INSTRUCTIONS: Transfer to Cancelled Intrastate Motor Carriers Correspondence File (Item 12815) after authority has been cancelled.

ITEM 12803. FORMAL CERTIFICATES FILE.

Certificates of public convenience and necessity and permits for trucks and buses of authorized motor carriers.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION DIRECTOR'S OFFICE/TRANSPORTATION DIVISION

ITEM 12804. CANCELLED FORMAL CERTIFICATES FILE.

Certificates of public convenience and necessity and permits for trucks and buses of motor carriers whose authority has been cancelled or transferred.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 12805. INTRASTATE PENDING APPLICATIONS FILE.

Records concerning intrastate applications pending formal hearings and final determinations. File also includes pleading documentations, protest information, and other related records.

DISPOSITION INSTRUCTIONS: Transfer accepted applications and related records to Intrastate Motor Carriers Correspondence File (Item 12802) after final order is issued. Destroy in office applications and related records not accepted after 1 year if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12815. CANCELLED INTRASTATE MOTOR CARRIERS CORRESPONDENCE FILE.

Correspondence and other related records concerning motor carriers whose operating rights have been cancelled.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION ECONOMIC AND ENGINEERING DIVISION

ITEM 12755. RATE CASES STUDIES FILE.

Records concerning rate cases studies. File includes cost of service studies, rate design and rate of return records (cost of survey), depreciation records, reference copies of transcripts of major rate cases, testimonial extracts, and other related records.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION FISCAL MANAGEMENT DIVISION

ITEM 12711. DIRECTOR'S FILE.

Records concerning the administration of the division. File includes quarterly reports, correspondence, news releases, analysis reports received from utilities companies, and other related records. File also includes reference copies of meeting minutes.

DISPOSITION INSTRUCTIONS: Destroy in office minutes when reference value ends. Transfer remaining records to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 12712. LEGISLATIVE FILE.

Proposed and enacted legislation concerning the North Carolina Utilities Commission. DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 12713. STATISTICAL AND ANALYTICAL REPORTS FILE.

Reference copies of statistical and analytical reports published by the commission as required by the North Carolina General Assembly. (Reports detail activities and accomplishments of the commission.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12714. DOCKET SYSTEM DATA FILE.

Records concerning the data processing system. File includes system documentation and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 12717. TELEPHONE DOCKETS FILE.

Records concerning rate applications and general orders issued by the North Carolina Utilities Commission. File includes reference copies of receipts from the Chief Clerk's Office, complaint correspondence, rate schedules, specific company transaction records, and other related

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12719. ELECTRIC DOCKETS FILE.

Records concerning rate applications and general orders. File includes reference copies of rate research records, information on electrical cooperatives, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12720. GAS DOCKET FILE.

Reference copies of G-100 orders, gas refund statements, and orders approving refund plans. File also includes records regarding rules and regulations.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION FISCAL MANAGEMENT DIVISION

ITEM 12722. M-100 FILE.

Reference copies of general orders issued concerning utility companies. File also includes monthly reports and information submitted to the commission regarding compliance with orders.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 12725. DOCKETS (MINIMUM FILING REQUIREMENTS) FILE.

Records concerning minimum filing requirements for gas, electric, and telephone companies. File includes records regarding peak-load pricing and analyses of future growth in electricity.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12728. GENERAL STUDIES FILE.

Records concerning utilities studies. File includes estimates of future energy use in North Carolina, home heating data, general auditing procedures, utilities questionnaires, accounting staff assignments, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office general auditing procedures and accounting staff assignments when reference value ends. Transfer to the State Records Center remaining records when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 12729. SHORT-TERM NOTES FILE.

Monthly reports used to notify the commission of the issuance of short-term notes. DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12739. STOCKHOLDERS' REPORTS FILE.

Annual financial reports concerning stockholders. (Records detailing stockholders' financial transactions.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 12741. NATIONAL ASSOCIATION OF REGULATORY UTILITY COMMISSIONS (NARUC) QUESTIONNAIRES FILE.

Data provided by NARUC and used by utility companies to update their records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 12742. GAS TRACKING FILE.

Applications and exhibits filed with the North Carolina Utilities Commission. File also includes records filed by gas companies seeking to recover or track costs incurred during a particular period.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12743. ANNUAL REPORTS OF UTILITIES (GAS, ELECTRIC, AND TELEPHONE) FILE.

Reference copies of required annual financial and statistical reports received by the commission from companies under its jurisdiction.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION FISCAL MANAGEMENT DIVISION

ITEM 12744. ANNUAL REPORTS OF UTILITIES (WATER, MOTOR PASSENGER, MOTOR FREIGHT, AND RAILROADS) FILE.

Reference copies of required annual financial and statistical reports received by the commission from companies under its jurisdiction.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12748. "WALL STREET JOURNAL" AND "BARRONS" FILE.

Newspapers used to obtain specific stock data.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 12749. MISCELLANEOUS STUDIES FILE.

Correspondence concerning miscellaneous studies. File also includes planning and survey reports.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 45682. PUBLIC UTILITY REGULATORY FEE REPORTS FILE.

Records concerning quarterly jurisdictional revenues reported by certificated companies used in calculating the amount of regulatory fee to be paid by appropriate company as required by G.S. 62-302. File includes fee reports, correspondence, certificates, Commission orders, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION GAS ENGINEER SECTION

ITEM 12754. GAS ENGINEER CORRESPONDENCE FILE.

Correspondence and memorandums concerning responses by the Gas Engineer Director relating to gas inquiries received.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION GAS PIPELINE SECTION

ITEM 12816. DEPARTMENT OF TRANSPORTATION (FEDERAL) FILE.

Records concerning Federal Department of Transportation. File includes reference copies of Department of Transportation annual reports, listings of accomplishments, seminar information, and reports of accidents by pipeline staff. File also includes reference copies of payment agreement records, grant-in-aid records, operator's annual reports, and records regarding leaks which occurred in pipelines in the United States during the calendar year.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

ITEM 12818. MUNICIPALITIES FILE.

Records concerning the inspection of municipal gas systems in the state. File includes accident reports, inspection reports, annual reports, corrosion reports, general correspondence, reference copies of dockets, maps of cities, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

ITEM 12819. HOUSING AUTHORITIES FILE.

Correspondence and reports concerning housing authorities.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

ITEM 12820. UTILITY COMPANIES (GAS DOCKETS) FILE.

Correspondence and other related records concerning the five utility companies which serve North Carolina with natural gas. File also includes accident, inspection, annual, and corrosion reports, maps, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

ITEM 12821. PIPELINE SAFETY GENERAL FILE.

Records concerning pipeline safety. File includes safety codes of other states, testing equipment information, highway patrol records, maps of North Carolina, legislative information, pipeline safety act, welder qualifications, information regarding the one-call telephone system, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION LEGAL DIVISION

ITEM 12758. LEGISLATIVE FILE.

Proposed and enacted legislation regarding transportation.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 12759. DOCKET FILE.

Reference copies of exhibits (applications, orders, and transcripts) of cases used to establish orders issued by the commission.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12760. APPEAL CASES FILE.

Reference copies of cases appealed to the North Carolina Supreme Court. File includes exhibits, applications, orders, and transcripts.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after final order is issued by the North Carolina Supreme Court.

ITEM 12761. CLOSED CASES (FEDERAL DOCKET) FILE.

Records concerning certificate proceedings of rate cases. File includes reference copies of rules and regulations regarding Transcontinental Gas Pipeline Corporation filed with the Federal Energy Regulatory Commission. File also includes reference copies of cases involving other federal regulatory agencies.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 12764. RATE CASES REPORTS FILE.

Reference copies of reports concerning rate cases heard by the commission.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 12765. UNITED STATES DISTRICT COURT CASES FILE.

Records concerning United States District Court utilities cases. File includes copies of orders and decisions issued by the United States District Court.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 10 years after case has been closed. Records will be held for agency in the State Records Center 10 additional years and then transferred to the custody of Archives.

ITEM 12766. FEDERAL ENERGY REGULATORY COMMISSION'S (FERC) PROCEDURE FILE.

Procedures and orders issued by FERC.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12767. TELECOMMUNICATION FILE.

Reference copies of records concerning exhibits and proposed telecommunication legislation. File includes news releases, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION LEGAL DIVISION

ITEM 12768. ELECTRICAL UTILITY DEMONSTRATION FILE.

Reports concerning electrical utility demonstration projects. File also includes proposals and contracts.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12769. HEARING EXAMINATIONS FILE.

Hearing examination notes collected by staff attorneys for future reference purposes.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 12770. ATTORNEY'S CORRESPONDENCE FILE.

Correspondence and memorandums prepared by staff attorneys concerning inquiries received related to utility matters.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 12771. WORK PRODUCTS FILE.

Correspondence and other related records concerning legal matters of the division.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 12772. COMMISSION FILE.

Reference copies of records concerning various commission issues. File includes legislative materials, memorandums, regulatory review records, administrative procedure materials, Interstate Commerce Commission (ICC) general rules, copies of transcripts, and other related records

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION PROOFING

ITEM 12697. PROCEDURES MANUAL FILE.

Internal procedures and rules concerning commission meetings. File includes recommended orders and descriptions of orders issued.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 12698. NORTH CAROLINA PUBLIC UTILITY MANUAL FILE.

Reference copies of manuals concerning General Statutes regulating the North Carolina Utilities Commission.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 12699. INDEX FILE.

Reference copy of an index file concerning orders to be printed in each annual report.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 12700. DAILY ORDERS LOG FILE.

Reference copies of orders issued by the commission which will be selected for publication in the commission's report.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12701. ORDERS (PRINTED) FILE.

Reference copies of rate cases selected for printing in the annual report.

DISPOSITION INSTRUCTIONS: Destroy in office after annual report is printed.

ITEM 12702. ORDERS (LISTED) FILE.

Reference copies of orders issued by the commission and listed according to classification.

DEPARTMENT OF COMMERCE NORTH CAROLINA UTILITIES COMMISSION REPORTER'S OFFICE/LEGAL DIVISION

ITEM 571. UNTRANSCRIBED STENOTYPE NOTES FILE.

Stenotype notes of docket cases which have not been transcribed.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy records currently held in the State Records Center immediately.

ITEM 12774. TRANSCRIBED STENOTYPE NOTES FILE.

Transcribed stenotype notes of docket cases.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.